

A

Patent  
242/044  
Express Mail #EL088591662US



To: Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231



**NEW APPLICATION TRANSMITTAL  
UTILITY**

Sir:

Transmitted herewith for filing is a **utility** patent application:

**Inventor(s):** John R. Hurst and Scott G. Hutton

**Title:** SYSTEM AND METHOD FOR DATABASE SIMILARITY JOIN

**I. PAPERS ENCLOSED HEREWITH FOR FILING UNDER 37 CFR § 1.53(b):**

- 35 Page(s) of Written Description  
2 Page(s) Claims  
1 Page Abstract  
7 Sheets of Drawings       Informal       Formal

**II. ADDITIONAL PAPERS ENCLOSED IN CONNECTION WITH THIS FILING:**

- Declaration and Power of Attorney  
 Assignment to Arena Pharmaceuticals, Inc., Recordation Form Cover Sheet and fee.  
 Verified Statement establishing "**Small Entity**" under 37 CFR §§ 1.9 and 1.27  
 Priority Document No(s): \_\_\_\_\_  
 Information Disclosure Statement w/PTO 1449       Copy of Citations  
 Preliminary Amendment  
 Return Postcard

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**III. THE FILING FEE HAS BEEN CALCULATED AS SHOWN BELOW:**

<b>BASIC FILING FEE:</b>						\$760.00
Total Claims	9	-	20	=	0	x \$18.00
Independent Claims	1	-	3	=	0	x \$78.00
Multiple Dependent Claims	\$260	(if applicable)			<input type="checkbox"/>	\$0.00
<b>TOTAL OF ABOVE CALCULATIONS</b>						\$760.00
Reduction by ½ for Filing by Small Entity. Note 37 CFR §§ 1.9, 1.27, 1.28. If applicable, Verified Statement must be attached.					<input checked="" type="checkbox"/>	\$380.00
Misc. Filing Fees (Recordation of Assignment -- \$40)						\$40.00
<b>TOTAL FEES SUBMITTED HEREWITH</b>						\$420.00

**IV. METHOD OF PAYMENT OF FEES**

- A check in the amount of \$420.00.
- Charge Lyon & Lyon's Deposit Account No. **12-2475** in the amount of \_\_\_\_\_.
- This application is being filed without fee or Declaration under 37 CFR § 1.53.

**V. AUTHORIZATION to CHARGE FEES**

- Charge Lyon & Lyon's Deposit Account No. **12-2475** for underpayment of fees or debit any overpayment.

Respectfully submitted,

LYON & LYON LLP

By:

Daniel N. Yannuzzi  
Reg. No. 36,727

Dated: April 28, 1999

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Applicant or Patentee: John R. Hurst et al.

Serial or Patent No.: Not yet assigned

Filed or Issued: Filed Herewith

For: SYSTEM AND METHOD FOR DATABASE SIMILARITY JOIN

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(d) and 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am:

- the owner of the small business concern identified below:  
 an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: Arena Pharmaceuticals, Inc.  
 ADDRESS OF CONCERN: 6166 Nancy Ridge Drive  
 La Jolla, CA 92121

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled SYSTEM AND METHOD FOR DATABASE SIMILARITY JOIN, by inventors John R. Hurst and Scott Hutton described in

the specification filed herewith.  
 application serial number \_\_\_\_\_, filed \_\_\_\_\_.  
 Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME: \_\_\_\_\_  
 ADDRESS: \_\_\_\_\_

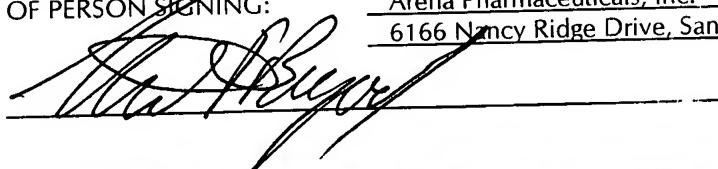
[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [ ] NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Richard Burgoon  
 TITLE OF PERSON IN ORGANIZATION: Assistant Secretary  
 ADDRESS OF PERSON SIGNING: Arena Pharmaceuticals, Inc.  
 6166 Nancy Ridge Drive, San Diego, CA 92121

Signature



Date 4-28-99